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PTO/SB/21 (08-03)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	10/619,083
		Filing Date	July 14, 2003
		First Named Inventor	Jeffery W. Adair
		Art Unit	
		Examiner Name	
Total Number of Pages in This Submission		Attorney Docket Number	03067/DKT02006

### ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please Identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Return Postcard
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	<input type="checkbox"/> References - 77
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Catherine B. Martineau
Signature	
Date	

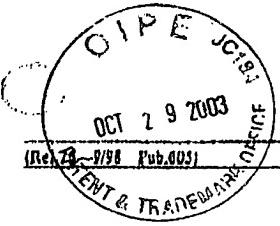
### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Kathy A. Hower		
Signature	Kathy A. Hower	Date	10/27/03

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



FORM G-1

G-17

Practitioner's Docket No. 03067/DKT02006**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Patent application  
of \_\_\_\_\_ Inventor(s)  
for \_\_\_\_\_ Title of Invention

the specification of which is being transmitted herewith

OR

In re application of: Jeffery W. Adair  
Application No.: 0 10, 619,083 Group No.:  
Filed: July 14, 2003 Examiner:  
For: FRICTIONAL MATERIAL HAVING  
OIL LOCALIZATION SLOTS

Assistant Commissioner for Patents  
Washington, D.C. 20231.

**INFORMATION DISCLOSURE STATEMENT**

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**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\***  
(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

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37 C.F.R. § 1.8(a)

37 C.F.R. § 1.10\*

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Kathy A. Hower  
Signature

Date: 10/27/03Kathy A. Hower

(Type or print name of person certifying)

**\*WARNING:** Each paper or fee filed by Express Mail must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1998, 60 Fed. Reg. 66,439, at 66,442.

(Information Disclosure Statement [G-1]—page 1 of 11)

**NOTE:** "An information disclosure statement shall be considered by the Office if filed by the applicant:

- (1) Within three months of the filing date of a national application;
- (2) Within three months of the date of entry of the national stage as set forth in § 1.481 in an international application; or
- (3) Before the mailing date of a first Office action on the merits, whichever event occurs last."

37 C.F.R. § 1.87(b).

**NOTE:** "Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section." 37 C.F.R. § 1.88(a).  
"Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

- (1) each inventor named in the application;
- (2) each attorney or agent who prepares or prosecutes the application; and
- (3) every other person who is substantially involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application." 37 C.F.R. § 1.88(a).

**NOTE:** The "duty as described in § 1.88 will be met so long as the information in question was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.87(b)-(d) and 1.88 before issuance of the patent." Notice of January 9, 1992, 1136 O.G. 13-28 at 17.

**WARNING:** "No information disclosure statement may be filed in a provisional application." 37 C.F.R. § 1.51(b).

#### **List of Sections Forming Part of This Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

*(check sections forming a part of this statement; discard unused sections and number pages consecutively)*

1.  Preliminary Statements
2.  FORMS PTO/88/08A and 08B (formerly FORM PTO-1449)
3.  Statement as to Information Not Found in Patents or Publications
4.  Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted
5.  Cumulative Patents or Publications
6.  Copies of Listed Information Items Accompanying This Statement
7.  Concise Explanation of Non-English Language Listed Information Items
  - 7A.  EPO Search Report
  - 7B.  English Language Version of EPO Search Report
8.  Translation(s) of Non-English Language Documents
9.  Concise Explanation of English Language Listed Information Items (Optional)
10.  Identification of Person(s) Making This Information Disclosure Statement

*(complete the following, if appropriate)*

**Sections** \_\_\_\_\_, respectively, have been continued on ADDED PAGE(S).

**NOTE:** "Once the minimum requirements are met, the examiner has an obligation to consider the information." Notice of April 20, 1992 (1138 O.G. 87-41, 37).

(Information Disclosure Statement (8-1)—page 2 of 11)

**Section 1. Preliminary statements**

Applicants submit herewith patents, publications or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.



Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

				Complete if Known	
				Application Number	
				Filing Date	
				First Named Inventor	Jeffery W. Adair
				Group Art Unit	
				Examiner Name	
Sheet		of		Attorney Docket Number	03067/02006

### U.S. PATENT DOCUMENTS

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code (if known)			
		1,682,198		Sitton	08/28/1928	
		1,860,147		Hadley	05/24/1932	
		2,221,893		White	11/19/1940	
		2,307,814		Walters	01/12/1943	
		2,316,874		Kraft	04/20/1943	
		2,354,526		Lapsley et al.	07/25/1944	
		2,516,544		Breeze	07/25/1950	
		2,555,261		Walters	05/29/1951	
		2,702,770		Steck	02/22/1955	
		2,749,264		Emrick	06/05/1956	
		3,080,028		Kennedy	03/05/1963	
		3,429,766		Stormfeltz	02/25/1969	
		3,520,390		Bentz	07/14/1970	
		3,526,306		Bentz et al.	09/01/1970	
		3,578,122		Magnier	05/11/1971	
		3,654,777		Grundman	04/11/1972	

Examiner Signature		Date Considered	
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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

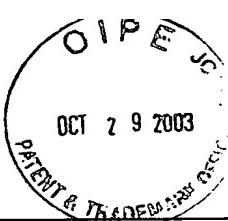
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		Number	Kind Code (if known)			
		3,871,934		Marin	03/18/1975	
		3,927,241		Augustin	12/16/1975	
		4,002,225		Marin	01/11/1977	
		4,033,437		Labat	07/05/1977	
		4,045,608		Todd	08/30/1977	
		4,209,086		Friedrich	06/24/1980	
		4,260,047		Nels	04/07/1981	
		4,267,912		Bauer et al.	05/19/1981	
		4,291,794		Bauer	09/29/1981	
		4,396,100		Eltze	08/02/1983	
		4,639,392		Nels et al.	01/27/1987	
		4,674,616		Mannino, Jr.	06/23/1987	
		4,698,889		Patzer et al.	10/13/1987	
		4,700,823		Winckler	10/20/1987	
		4,726,455		East	02/23/1988	
		4,732,247		Frost	03/22/1988	

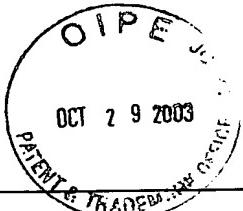
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Substitute for form 1449A/PTO				Complete if Known	
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U.S. PATENT DOCUMENTS						
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		Number	Kind Code (if known)			
		4,742,723		Lanzerath et al.	05/10/1988	
		4,770,283		Putz et al.	09/13/1988	
		4,878,282		Bauer	11/07/1989	
		4,913,267		Campbell et al.	04/03/1990	
		4,917,743		Gramberger et al.	04/17/1990	
		4,950,530		Shibatani	08/21/1990	
		4,951,798		Knoess	08/28/1990	
		4,986,397		Vierk	01/22/1991	
		4,995,500		Payvar	02/26/1991	
		4,997,067		Watts	03/05/1991	
		5,038,628		Kayama	08/13/1991	
		5,076,882		Oyanagi et al.	12/31/1991	
		5,094,331		Fujimoto et al.	03/10/1992	
		5,101,953		Payvar	04/07/1992	
		5,105,522		Gramberger et al.	04/21/1992	

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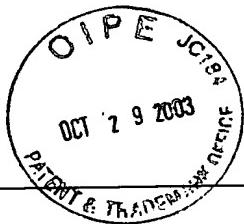
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		Number	Kind Code (if known)			
		5,143,192		Vojacek et al.	01/01/1992	
		5,211,068		Spitale et al.	05/18/1993	
		5,221,401		Genise	06/22/1993	
		5,269,400		Fogelberg	12/14/1993	
		5,313,793		Kirkwood et al.	05/24/1994	
		5,332,075		Quigley et al.	07/26/1994	
		5,335,765		Takakura et al.	08/09/1994	
		5,460,255		Quigley	10/24/1995	
		5,571,372		Miyaishi et al.	11/05/1996	
		5,615,758		Nels	04/01/1997	
		5,620,075		Larsen et al.	04/15/1997	
		5,662,993		Winckler	09/02/1997	
		5,671,835		Tanaka et al.	09/30/1997	
		5,771,691		Kirkwood et al.	06/30/1998	
		5,776,288		Stefanutti et al.	07/07/1998	
		5,842,551		Nels	12/01/1998	

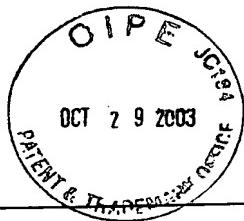
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 <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)				Complete if Known	
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				Group Art Unit	
				Examiner Name	
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U.S. PATENT DOCUMENTS

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Substitute for form 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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First Named Inventor				Jeffery W. Adair	
Group Art Unit					
Examiner Name					
Sheet		of		Attorney Docket Number	03067/02006

FOREIGN PATENT DOCUMENTS							
Examiner Initials	Cite No.	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Column, Lines, Where Relevant Passages or Relevant Figures Appear	T
		OfficeNumber	Kind Code (if known)				
		WO	WO99/35415	Nels, Terry	07/15/1999		
			WO96/10701	Nels, Terry	04/11/1996		
		CH	312771	Grote	04/14/1956		
		JP	2-17223	Saito et al.	01/22/1990		
		FR	2 430 545	Saito et al.	1979		
		DE	DE 37 05 657	A1 Gramberger	09/01/1988		
		EP	0 393 845	A1 Genise	10/24/1990		
		EP	0 510 875 A2	A2 Takahata et al.	10/28/1992		
		EP	0 581 696 A1	A1 Bommier et al.	02/02/1994		

Examiner Signature		Date Considered	
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**Section 6. Copies of Listed Information Items Accompanying This Statement**

**NOTE:** 37 C.F.R. 1.98(a)(2) requires that any information disclosure statement filed under § 1.97 shall include: "A legible copy of: (1) Each U.S. and foreign patent; (II) Each publication or that portion which caused it to be listed; and (III) All other information or that portion which caused it to be listed, except that no copy of a U.S. patent application need be included . . ."

**NOTE:** The wording in § 1.98(a)(2)(III) makes it clear that the requirement to submit a copy of each item of information listed in an information disclosure statement does not apply to the citation of a U.S. patent application. Notice of January 9, 1992, 1135 O.G. 13-25, at 14.

Legible copies of all items listed in Forms PTO/SB/08A and 08B (formerly Form PTO-1449) accompany this information statement.

(complete the following, if applicable)

**Exception(s) to above:**

- Items in prior application, from which an earlier filing date is claimed for this application, as identified in Section 4.
- Cumulative patents or publications identified in Section 5.

(Information Disclosure Statement—Section 6. Copies of Listed Information Items Accompanying This Statement [S-1]—page 10 of 11)

**Section 10. Identification of Person(s) Making This Information Disclosure Statement**

The person making this statement is

(check each applicable item)

- (a)  the inventor(s) who signs below

SIGNATURE OF INVENTOR

(type name of inventor who is signing)

- (b)  an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.68(a))

SIGNATURE OF INVENTOR

(type name of inventor who is signing)

- (c)  the practitioner who signs below on the basis of the information:

(check each applicable item)

- supplied by the inventor(s).  
 supplied by an individual associated with the filing and prosecution of this application. (37 C.F.R. § 1.68(a))  
 In the practitioner's file.

*Catherine B. Martineau*

SIGNATURE OF PRACTITIONER

Catherine B. Martineau

(type or print name of practitioner)

P.O. Box 916

P.O. Address

Toledo, OH 43697-0916

Reg. No.: 31,854

Tel. No.: (419) 243-1294

Customer No.: 20879

(Information Disclosure Statement—Section 10. Identification of Person(s) Making This Information Disclosure Statement [§ 1]—page 11 of 11)